Exhibit 300: Part I: Summary Information and Justification (All Capital Assets)

I.A. Overview

1. Date of Submission:	12/29/2006
2. Agency:	Small Business Administration
3. Bureau:	Chief Information Officer
4. Name of this Capital Asset:	OCIO: OA /T/ I Meta 300
5. Unique Project (Investment) Identifier: (For IT investment only, see section 53. For all other, use agency ID system.)	028-00-02-00-01-7001-00
6. What kind of investment will this be in FY2008? (Please NOTE: Investments moving to O&M ONLY in FY2008, with Planning/Acquisition activities prior to FY2008 should not select O&M. These investments should indicate their current status.)	Mixed Life Cycle
7. What was the first budget year this investment was submitted to OMB?	FY2002

8. Provide a brief summary and justification for this investment, including a brief description of how this closes in part or in whole an identified agency performance gap:

This is SBA's Consolidated Infrastructure Business Case. It encompasses all of the SBA's Information Technology & Information Management (IT/IM) infrastructure functions & investments/projects that support common user systems, communications, & the computing infrastructure. Although these investments are consolidated in this Exhibit 300, each functions & investment is individually managed. The majority of these discreet investments are in the Steady State/O&M Lifecycle phase, consisting of continuous control phase activities for ongoing oversight of legacy IT systems & services. However, OA/T/I is a mixed lifecycle investment due to the planning & acquisition effort associated with the IPV-6 & HSPD-12 directed initiatives. SBA's Infrastructure (the OA/T/I investment) activities fall within the following four general services groups or "clusters": 1. Computing Services Cluster--contains external data centers & key applications, internet-based hosted applications; IT/IM programs & projects in OISS. 2. Communications Services Cluster: Wide Area Networks; voice, data & messaging services. This cluster includes IT/IM programs & projects in OCTS. 3. Office Automation Cluster: Desktop & Local Area Networks; Customer Support. 4. Cross-Cutting Cluster: Enterprise Infrastructure, E-Government & IT Management/Governance. This cluster includes IT/IM programs & projects in OCTS, E-Government, & IT Governance. OA/T/I resources support internal Program Offices' mission requirement & are applied horizontally across the entirety of the SBA. Within these four clusters, The OATI infrastructure supports a user base of up to 5,000 SBA staff & contractors at more than 100 locations. IT/IM activities include (but are not limited to): - Centralized/consolidated/shared data storage & warehousing - Centralized/consolidated/shared web hosting, housing, content management - Enterprise-wide software licensing - Enterprise-wide office automation hardware purchases - Enterprise-wide hardware/software maintenance contracts - Consolidated IT/IM Help Desk - Desktop-to-peripheral ratios (e.g., 1 network printer or fax per "xx" desktops) - Desktop management; - E-mail management; - System administration policies; - Testing & integration services; - E-forms, workflow & intranet portals; & - Back-up, continuity of operations & disaster recovery.

9. Did the Agency's Executive/Investment Committee approve this request?	Yes

a. If "yes," what was the date of this approval?	7/24/2006
10. Did the Project Manager review this Exhibit?	Yes
11. Contact information of Project Manager?	
Name	
Phone Number	
Email	
12. Has the agency developed and/or promoted cost effective, energy efficient and environmentally sustainable techniques or practices for this project.	No
a. Will this investment include electronic assets (including computers)?	Yes
b. Is this investment for new construction or major retrofit of a Federal building or facility? (answer applicable to non-IT assets only)	No
1. If "yes," is an ESPC or UESC being used to help fund this investment?	
2. If "yes," will this investment meet sustainable design principles?	
3. If "yes," is it designed to be 30% more energy efficient than relevant code?	
13. Does this investment support one of the PMA initiatives?	No
If "yes," check all that apply:	
13a. Briefly describe how this asset directly supports the identified initiative(s)?	Elements of the IT infrastructure provide core enabling technologies and tools for the practice of e-government., e.g.: wide area network bandwidth and connectivity, internet content, e-mail, desktop and mobile computing with standard software products, data backup, restoration and recovery technologies. Without these primary IT capabilities, expanded e-government activities could not occur.
14. Does this investment support a program assessed using the Program Assessment Rating Tool (PART)? (For more information about the PART, visit www.whitehouse.gov/omb/part.)	No
a. If "yes," does this investment address a weakness found during the PART review?	

b. If "yes," what is the name of the PART program assessed by OMB's Program Assessment Rating Tool?	
c. If "yes," what PART rating did it receive?	
15. Is this investment for information technology?	Yes

If the answer to Question: "Is this investment for information technology?" was "Yes," complete this sub-section. If the answer is "No," do not answer this sub-section.

For information technology investments only:

16. What is the level of the IT Project? (per CIO Council PM Guidance)	Level 2
17. What project management qualifications does the Project Manager have? (per CIO Council PM Guidance):	(1) Project manager has been validated as qualified for this investment
18. Is this investment identified as "high risk" on the Q4 - FY 2006 agency high risk report (per OMB's "high risk" memo)?	No
19. Is this a financial management system?	No
a. If "yes," does this investment address a FFMIA compliance area?	
1. If "yes," which compliance area:	
2. If "no," what does it address?	
b. If "yes," please identify the system name(s) and system acronym(s) as reported in the most recent financial systems inventory update required by Circular A-11 section 52	

20. What is the percentage breakout for the total FY2008 funding request for the following? (This should total 100%)

Hardware	0
Software	0
Services	0
Other	
21. If this project produces information dissemination products for the public, are these products published to the Internet in conformance with OMB Memorandum 05-04 and included in your agency inventory, schedules and priorities?	Yes

22. Contact information of individual responsible for privacy related questions:

Name

Phone Number

Title

E-mail

23. Are the records produced by this investment appropriately scheduled with the National Archives and Records Administration's approval? Yes

I.B. Summary of Funding

Provide the total estimated life-cycle cost for this investment by completing the following table. All amounts represent budget authority in millions, and are rounded to three decimal places. Federal personnel costs should be included only in the row designated "Government FTE Cost," and should be excluded from the amounts shown for "Planning," "Full Acquisition," and "Operation/Maintenance." The total estimated annual cost of the investment is the sum of costs for "Planning," "Full Acquisition," and "Operation/Maintenance." For Federal buildings and facilities, life-cycle costs should include long term energy, environmental, decommissioning, and/or restoration costs. The costs associated with the entire life-cycle of the investment should be included in this report.

	PY - 1 and Earlier	PY 2006	CY 2007	BY 2008	BY + 1 2009	BY + 2 2010	BY + 3 2011	BY + 4 and Beyond	Total
Table 1: SUMMARY OF SPENDING FOR PROJECT PHASES (REPORTED IN MILLIONS) (Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)									
Planning									
Budgetary Resources	0.2	0.3	0.35	0.35					
Acquisition									
Budgetary Resources	0.205	0	0	0					
Subtotal Planning & Acquisition									
Budgetary Resources	0.405	0.3	0.35	0.35					
Operations & Maintenance									
Budgetary Resources	40.625	38.336	38.122	40.242					
TOTAL									
Budgetary Resources	41.03	38.636	38.472	40.592					
Government FTE Costs									
Budgetary Resources	8.847	3.322	4.677	4.722					
Number of FTE represented by Costs:	0	29	42	42					

Note: For the cross-agency investments, this table should include all funding (both managing partner and partner agencies).

Government FTE Costs should not be included as part of the TOTAL represented.

2. Will this project require the agency to hire additional FTE's?	No
a. If "yes," How many and in what year?	
3. If the summary of spending has changed from the FY2007 President's budget request, briefly explain those changes:	

I.C. Acquisition/Contract Strategy

1. Complete the table for all (including all non-Federal) contracts and/or task orders currently in place or planned for this investment. Total Value should include all option years for each contract. Contracts and/or task orders completed do not need to be included.

Contracts/Task Orders Table:

2. If earned value is not required or will not be a contract requirement for any of the contracts or task orders above, explain why:

Current contracts, under this consolidated business case support operations and maintenance efforts. As investments are brought under this business (e.g., IPV6 and HSPD-12 D/M/E efforts) EVM will be incorporated in accordance with SBA guidance.

3. Do the contracts ensure Section 508 compliance?	Yes
a. Explain why:	
4. Is there an acquisition plan which has been approved in accordance with agency requirements?	No
a. If "yes," what is the date?	9/30/2004
b. If "no," will an acquisition plan be developed?	No
1. If "no," briefly explain why:	This business case consolidates numerous individual infrastructure related investments. Each individual investment is expected to develop an acquistion plan that meets the agency's requirements. The overall agency acquistion plan is being updated; both new and (applicable) existing investments that are part of this business cases will either update or develop this plan starting once the new policy is finalized in early FY07.

I.D. Performance Information

In order to successfully address this area of the exhibit 300, performance goals must be provided for the agency and be linked to the annual performance plan. The investment must discuss the agency's mission and strategic goals, and performance measures must be provided. These goals need to map to the gap in the agency's strategic goals and objectives this investment is designed to fill. They are the internal and external performance benefits this investment is expected to deliver to the agency (e.g., improve efficiency by 60 percent, increase citizen participation by 300 percent a year to achieve an overall citizen participation rate of 75 percent by FY 2xxx, etc.). The goals must be clearly measurable investment outcomes, and if applicable, investment outputs. They do not include the completion date of the module, milestones, or investment, or general goals, such as, significant, better, improved that do not have a quantitative or qualitative measure.

Agencies must use Table 1 below for reporting performance goals and measures for all non-IT investments and for existing IT investments that were initiated prior to FY 2005. The table can be extended to include measures for years beyond FY 2006.

Performance Information Table 1:					
Fiscal Year	Strategic Goal(s) Supported	Performance Measure	Actual/baseline (from Previous Year)	Planned Performance Metric (Target)	Performance Metric Results (Actual)
2006	PMA Goal 4/SBA Strategic Goal 4.	Streamline server support requirements by reducing the number of servers in SBA's environment. Concentrate on the e-mail platform. Evaluate the file/print platform.	SBA has 90+ e-mail servers and 90+ file/print servers. Licensing costs directly affected by number of servers.	Reduce the number of SBA e-mail servers by 40%.	Project underway as of 3/30/06; due to complete 1/30/07.
2006	PMA Goal 4/SBA Strategic Goal 4.	Modernize SBA's server and desktop operating system and suite of desktop applications.	Current operating system and standard desktop suite of applications is 5+ years old. Requires refresh.	Refresh 75% of SBA desktops.	Project underway as of 3/30/06; due to complete 1/30/07.
2006	PMA Goal 4/SBA Strategic Goal 4.	Modernize SBA desktop computing platform. Increase the computing efficiency by 20%.	Majority of desktop hardware and software several generations old.	Refresh 75% of SBA desktops.	Project underway as of 3/30/06; due to complete 1/30/07.
2006	PMA Goal 4/SBA Strategic Goal 4.	Identify and implement an e-mail archival solution.	Standard archival system for e-mail non-existent.	Electronic e-mail archival solution available to 30% of SBA HQ staff.	
2006	PMA Goal 4/SBA Strategic Goal 4.	Modernize SBA server platform. Increase processing power by 20% and storage capacity by 20%.	Majority of server hardware and software several generations old.	Refresh 60% of SBA servers.	Project underway as of 3/30/06; due to complete 1/30/07.
2006	PMA Goal 4/SBA Strategic Goals 1 & 4.	Build LLTS functionality to a web-based system	Reduce reliance on mainframe legacy systems	Fully functional alternative web-based LLTS application.	SBA has undertaken a complete mainframe

		integrated with the existing web-based Guaranty Purchase tracking system.	by eliminating COBOL applications. Mainframe-based Liquidation/Litigation Tracking System (LLTS)		migration project Loan Monitoring and Accounting System (LMAS) and therefore has suspended individual migration efforts.
2006	PMA Goal 4/SBA Strategic Goals 1 & 4.	Improve SBA loan origination and servicing by consolidating SBA loan related systems and migrating to a web-based platform and application.	Multiple Applications necessary in the origination and servicing of SBA loans.	80% loan origination, and 5% loan servicing.	SBA currently processes over 70% of its guaranty loan activity electronically. However SBA has undertaken a complete mainframe migration project LMAS and therefore has suspending additional individual migration efforts.
2006	PMA Goal 4/SBA Strategic Goals 1 & 4.	Modernizing of non-EA compliant applications.	Convert remaining Surety Bond Guaranty (SBG) legacy client/server modules to a web-based application. Currently 50% complete.	100% migration to web-based SBG.	SBA has completed migration of 70% of the Surety Bond Guaranty legacy client/server modules to web-based alternative.
2006	PMA Goal 4/SBA Strategic Goals 1 & 4.	Implement infrastructure necessary to deploy solution agency-wide	Provide all SBA's Program offices access to MS SharePoint services.	100% availability of MS SharePoint solution.	SBA has completed the associated hardware procurement/installation.
2006	PMA Goal 4/SBA Strategic Goals 1 & 4.	Implement Stellent CMS to increase efficiencies over content updates and management	Migrate SBA's Web content to Stellent content management system.	25% migration to content management solution for maintenance of Web content.	10% of SBA's Web content has been migrated to Stellent content management solution with another 500 pages scheduled by FY end.
2006	PMA Goal 4/SBA Strategic Goal 4.	Upgrade a portion of SBA laptops.	10% of laptop computers require refresh.	Refresh 10% of laptop computers.	Project underway as of 3/30/06; due to complete 1/30/07.
2006	PMA Goal 4/SBA Strategic Goal 4.	Evaluate re-cabling SBA's HQ building.	Majority of current data cabling is aged and cannot provide performance levels required by current systems and applications.	Develop SOW to replace all non-CAT5 data cabling in SBA HQ building.	TBD
2006	PMA Goal 4/SBA Strategic Goal 4.	Assign an IPv6 migration coordinating official.	Comply with OMB mandated migration to IPv6.	100% of existing IP-compliant equipment inventoried. IPv6 migration plan and project schedule developed. Impact analysis 100% completed.	TBD
2007	PMA Goal 4/SBA Strategic Goal 4.	Research the impact and benefits of an extensive consolidation of SBA's server	25% of SBA's Microsoft server hardware requires a refresh.	Refresh 25% of SBA's Microsoft server base.	TBD

		base.			
2007	PMA Goal 4/SBA Strategic Goal 4.	Upgrade a portion of SBA laptops.	33% of laptop computers require a refresh.	Refresh 33% of laptop computers.	TBD
2007	PMA Goal 4/SBA Strategic Goal 4.	Research the impact and benefits of upgrading SBA's application server base.	25% of SBA's application server hardware requires a refresh.	Refresh 25% of SBA's application server base.	TBD
2007	PMA Goal 4/SBA Strategic Goals 1 & 4.	Build LLTS functionality to a web-based system integrated with the existing web-based Guaranty Purchase tracking system.	Reduce reliance on mainframe legacy systems by eliminating COBOL applications. Mainframe-based Liquidation/Litigation Tracking System (LLTS).	Fully functional alternative web-based LLTS application.	TBD
2007	PMA Goal 4/SBA Strategic Goals 1 & 4.	Improve SBA loan origination and servicing by consolidating SBA loan related systems and migrating to a web-based platform and application.	Multiple Applications necessary in the origination and servicing of SBA loans.	80% loan origination, and 15% loan servicing.	TBD
2007	PMA Goal 4/SBA Strategic Goals 1 & 4.	Modernizing of non-EA compliant applications.	Convert remaining Surety Bond Guaranty (SBG) legacy client/server modules to a web-based application. Currently 50% complete.	100% migration to web-based SBG.	TBD
2007	PMA Goal 4/SBA Strategic Goals 1 & 4.	Implement infrastructure necessary to deploy solution agency-wide	Provide all SBA's Program offices access to MS SharePoint services.	100% availability of MS SharePoint solution.	TBD
2007	PMA Goal 4/SBA Strategic Goals 1 & 4.	Implement Stellent CMS to increase efficiencies over content updates and management.	Migrate SBA's Web content to Stellent content management system.	80% migration to content management solution for maintenance of Web content.	TBD
2007	PMA Goal 4/SBA Strategic Goals 1 & 4.	Migrate remaining Mainframe-based Debt collection functions (Treasury Offset/Servicing, Credit Bureau Reporting) to a web-based system.	Reduce reliance on mainframe legacy systems by eliminating COBOL application. Remaining Mainframe-based Debt collection functions (Treasury Offset/Servicing, Credit Bureau Reporting).	100% migration to web-based TOP/DMS and CB Reporting.	TBD
2007	PMA Goal 4/SBA Strategic Goals 1 & 4.	Migrate DLCS functionality to a web-based system integrated with the existing web-based GPTS/LLTS.	Reduce reliance on mainframe legacy systems by eliminating COBOL applications. Mainframe-based Delinquent Loan Collection System (DLCS).	Availability of fully functional web-based DLCS system.	TBD

2007	PMA Goal 4/SBA Strategic Goals 1 & 4.	Migrate SBA internal paper based forms to electronic solution.	Automate and streamline SBA business processes using the e-works work flow tools.	50% migration to web-based electronic solution for forms processing.	TBD
2007	PMA Goal 4/SBA Strategic Goal 4.	Modernize SBA desktop computing platform. Increase the computing efficiency by 20%.	Desktop hardware not refreshed during the FY2006 modernization effort several generations old.	Refresh 10% of SBA desktops.	TBD
2007	PMA Goal 4/SBA Strategic Goal 4.	Upgrade the cable plant in SBA's HQ building.	All non-CAT 5 data cabling in SBA's HQ building needs replacement.	Replaced 100% of non-CAT 5 data cabling in SBA's HQ building.	TBD
2007	PMA Goal 4/SBA Strategic Goal 4.	Modernize SBA server platform. Increase processing power by 20% and storage capacity by 20%.	Server hardware not refreshed during the FY 2006 modernization effort several generations old.	Refresh 20% of SBA servers.	TBD
2008	PMA Goal 4/SBA Strategic Goal 4.	Research the impact and benefits of upgrading SBA's application server base.	25% of SBA's application server hardware requires a refresh.	Refresh 25% of SBA's application server base.	TBD
2008	PMA Goal 4/SBA Strategic Goals 1 & 4.	Migrate DLCS functionality to a web-based system integrated with the existing web-based GPTS/LLTS.	Reduce reliance on mainframe legacy systems by eliminating COBOL applications. Mainframe-based Delinquent Loan Collection System (DLCS).	Availability of fully functional web-based DLCS system.	TBD
2008	PMA Goal 4/SBA Strategic Goals 1 & 4.	Improve SBA loan origination and servicing by consolidating SBA loan related systems and migrating to a web-based platform and application.	Multiple Applications necessary in the origination and servicing of SBA loans.	100% loan origination, and 50% loan servicing.	TBD
2008	PMA Goal 4/SBA Strategic Goals 1 & 4.	Implement Stellent CMS to increase efficiencies over content updates and management.	Migrate SBA's Web content to Stellent content management system.	100% migration to content management solution for maintenance of Web content.	TBD
2008	PMA Goal 4/SBA Strategic Goals 1 & 4.	Migrate remaining Mainframe-based Debt collection functions (Treasury Offset/Servicing, Credit Bureau Reporting) to a web-based system.	Reduce reliance on mainframe legacy systems by eliminating COBOL applications. Remaining Mainframe-based Debt collection functions (Treasury Offset/Servicing, Credit Bureau Reporting).	100% migration to web-based TOP/DMS and CB Reporting.	TBD
2008	PMA Goal 4/SBA Strategic	Migrate SBA internal paper	Automate and streamline	50% migration to web-based	TBD

	Goals 1 & 4.	based forms to electronic solution.	SBA business processes using the e-works work flow tools.	electronic solution for forms processing.	
2008	PMA Goal 4/SBA Strategic Goal 4.	Upgrade a portion of SBA laptops.	33% of laptop computers require refresh.	Refresh 33% of laptop computers.	TBD
2008	PMA Goal 4/SBA Strategic Goal 4.	Modernize SBA desktop computing platform. Increase the computing efficiency by 20%.	Remaining desktop hardware not refreshed during FY 2006 or FY 2007 is several generations old.	Refresh 10% of SBA desktops.	TBD
2008	PMA Goal 4/SBA Strategic Goal 4.	Modernize SBA server platform. Increase processing power by 20% and storage capacity by 20%.	Remaining server hardware not refreshed during FY 2006 or FY 2007 is several generations old.	Refresh 20% of SBA servers.	TBD

All new IT investments initiated for FY 2005 and beyond must use Table 2 and are required to use the Federal Enterprise Architecture (FEA) Performance Reference Model (PRM). Please use Table 2 and the PRM to identify the performance information pertaining to this major IT investment. Map all Measurement Indicators to the corresponding "Measurement Area" and "Measurement Grouping" identified in the PRM. There should be at least one Measurement Indicator for at least four different Measurement Areas (for each fiscal year). The PRM is available at www.egov.gov.

Performance Information Table 2:							
Fiscal Year	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Planned Improvement to the Baseline	Actual Results

I.E. Security and Privacy

In order to successfully address this area of the business case, each question below must be answered at the system/application level, not at a program or agency level. Systems supporting this investment on the planning and operational systems security tables should match the systems on the privacy table below. Systems on the Operational Security Table must be included on your agency FISMA system inventory and should be easily referenced in the inventory (i.e., should use the same name or identifier).

All systems supporting and/or part of this investment should be included in the tables below, inclusive of both agency owned systems and contractor systems. For IT investments under development, security and privacy planning must proceed in parallel with the development of the system/s to ensure IT security and privacy requirements and costs are identified and incorporated into the overall lifecycle of the system/s.

Please respond to the questions below and verify the system owner took the following actions:

1. Have the IT security costs for the system(s) been identified and integrated into the overall costs of the investment:	Yes
a. If "yes," provide the "Percentage IT Security" for the budget year:	0
2. Is identifying and assessing security and privacy risks a part of the overall risk management effort for each system supporting or part of this investment.	Yes

3. Systems in Planning - Security Table:

Name of System	Agency/ or Contractor Operated System?	Planned Operational Date	Planned or Actual C&A Completion Date

4. Operational Systems - Security Table:

Name of System	Agency/ or Contractor Operated System?	NIST FIPS 199 Risk Impact level	Has C&A been Completed, using NIST 800-37?	Date C&A Complete	What standards were used for the Security Controls tests?	Date Complete(d): Security Control Testing	Date the contingency plan tested
HQ Data Center Services	Contractor and Government	Moderate	Yes	9/15/2006	FIPS 200 / NIST 800-53	9/15/2006	8/23/2006
Local and Wide Area Networks (including e-mail)	Contractor and Government	High	Yes	9/15/2006	FIPS 200 / NIST 800-53	9/15/2006	8/9/2006
Mainframe Data Center Services, (includes loan accounting and related applications subsystems)	Contractor and Government	High	Yes	9/15/2006	FIPS 200 / NIST 800-53	9/15/2006	7/10/2006

5. Have any weaknesses related to any of the systems part of or supporting this investment been identified by the agency or IG?	Yes
a. If "yes," have those weaknesses been incorporated agency's plan of action and milestone process?	Yes
6. Indicate whether an increase in IT security funding is requested to remediate IT security weaknesses?	Yes

a. If "yes," specify the amount, provide a general description of the weakness, and explain how the funding request will remediate the weakness.

Monitoring, verifying, and validating contractor security procedures are incorporated into SBA's overall Continuous Monitoring Process. Within SBA's Continuous Monitoring Process, individual OA/T/I infrastructure investment/project monitoring is guided and managed in accordance with individual plans that provide specific details pertaining to the activities, schedule, and responsibilities associated with Continuous Monitoring. OA/T/I is a consolidated business case; and the investments that make-up this business case are not managed as a single project. As such, SBA does not develop or consolidate a single plan to monitor, verify, and validate OA/T/I as a whole. OA/T/I investments fall under the OCIO; the Office of Information Systems Support and the Office of Communications Technology Services & IT Security are primarily responsible continuous monitoring. The following SBA's Continuous Monitoring Process schedule of activities describe how OA/T/I provides relevant continuous monitoring: Annually SBA: coordinates/facilitates reviews and updates of the business impact analysis with the System Owner, conducts a FISMA Self Assessment reviews, verifies SBA and contract employees have completed their annual security awareness training, and verifies that the organization monitors the security controls in the system on an ongoing basis. Quarterly SBA: conducts vulnerability scans using Foundstone, non-intrusive policies for the mainframe, and for non-intrusive policies for Windows platforms, CISCO routers, switches and Solaris platforms.

Monthly SBA: audits accounts against personnel actions (terminations). Remove/disable any existing accounts for employees and / or contractors who have terminated, and compile incident data and report incidents to Fedcirc, including viruses, spam, and other security incidents. Daily SBA: monitors firewall audit logs for suspicious activity and unauthorized changes to the firewall rule base (Note: audit policies are established and controlled by the CISO). Continuously SBA: controls changes to the system, report significant changes to the CISO, analyzes significant changes for security impacts and conduct C&A activities as appropriate; additionally, monitors and investigate IDS log/alerts (note: IDS policies established and controlled by CISO).

7. How are contractor security procedures monitored, verified, validated by the agency for the contractor systems above?

The Agency performs Certification & Accreditations, conducts site visits, and employs periodic scans to monitor contractors' compliance with Congressional, Federal and Agency requirements.

8. Planning & Operational Systems - Privacy Table:					
Name of System	Is this a new system?	Is there a Privacy Impact Assessment (PIA) that covers this system?	Is the PIA available to the public?	Is a System of Records Notice (SORN) required for this system?	Was a new or amended SORN published in FY 06?
HQ Data Center Services Systems	No	Yes.	Yes.	No	No, because the system is not a Privacy Act system of records.
Local and Wide Area Networks (including e-mail)	No	Yes.	Yes.	No	No, because the system is not a Privacy Act system of records.
Mainframe Data Center Services (including loan accounting and related subsystems)	No	Yes.	Yes.	Yes	No, because the existing Privacy Act system of records was not substantially revised in FY 06.

I.F. Enterprise Architecture (EA)

In order to successfully address this area of the business case and capital asset plan you must ensure the investment is included in the agency's EA and Capital Planning and Investment Control (CPIC) process, and is mapped to and supports the FEA. You must also ensure the business case demonstrates the relationship between the investment and the business, performance, data, services, application, and technology layers of the agency's EA.

1. Is this investment included in your agency's target enterprise architecture?	Yes

  a. If "no," please explain why?

2. Is this investment included in the agency's EA Transition Strategy?	Yes

  a. If "yes," provide the investment name as identified in the Transition Strategy provided in the agency's most recent annual EA Assessment. — The following OAT/T/I Meta 300 is identified in the SBA Transition

Plan/Migration and Sequencing Plan within the following Transition Strategies (Name & Location/Exhibit): o Information Transfer - Exhibit 4-25 o High performance information processing infrastructure - Exhibit 4-26, o Technology Infrastructure - Exhibit 4-28, o Transition from Ipv4 to IPv6 - Exhibit 4-17

b. If "no," please explain why?

3. Service Reference Model (SRM) Table: Identify the service components funded by this major IT investment (e.g., knowledge management, content management, customer relationship management, etc.). Provide this information in the format of the following table. For detailed guidance regarding components, please refer to http://www.whitehouse.gov/omb/egov/.								
Agency Component Name	**Agency Component Description**	**Service Domain**	**FEA SRM Service Type**	**FEA SRM Component**	**FEA Service Component Reused Name**	**FEA Service Component Reused UPI**	**Internal or External Reuse?**	**BY Funding Percentage**
Asset Transfer, Allocation, and Maintenance	Support the movement, assignment, and replacement of assets	Back Office Services	Asset / Materials Management	Asset Transfer, Allocation, and Maintenance			No Reuse	1
Computers / Automation Management	Support the identification, upgrade, allocation and replacement of physical devices, including servers and desktops, used to facilitate production and process driven activities	Back Office Services	Asset / Materials Management	Computers / Automation Management			No Reuse	1

Property / Asset Management	Support the identification, planning and allocation of an organization's physical capital and resources	Back Office Services	Asset / Materials Management	Property / Asset Management			No Reuse	1
Data Cleansing	Support the removal of incorrect or unnecessary characters and data from a data source	Back Office Services	Data Management	Data Cleansing			No Reuse	8
Data Exchange	Support the interchange of information between multiple systems or applications; includes verification that transmitted data was received unaltered	Back Office Services	Data Management	Data Exchange			No Reuse	8
Extraction and Transformation	Support the manipulation and change of data	Back Office Services	Data Management	Extraction and Transformation			No Reuse	8
Meta Data Management	Support the maintenance and administration of data that describes data	Back Office Services	Data Management	Meta Data Management			No Reuse	8
Data Integration	Support the organization of data from separate data sources into a single source using middleware or application integration as well as the modification of system data models to capture new information within a single system	Back Office Services	Development and Integration	Data Integration			No Reuse	8
Instrumentation and Testing	Support the validation of application or system capabilities and requirements	Back Office Services	Development and Integration	Instrumentation and Testing			No Reuse	3
Legacy Integration	Support the communication between newer generation hardware/software applications and the previous, major generation of hardware/software applications	Back Office Services	Development and Integration	Legacy Integration			No Reuse	4
Software Development	Support the creation of both graphical and process application or system software	Back Office Services	Development and Integration	Software Development			No Reuse	5
Configuration Management	Control the hardware and software environments, as well as documents of an organization	Business Management Services	Management of Processes	Configuration Management			No Reuse	4
Governance / Policy Management	Influence and determine decisions, actions, business rules and other matters within an organization	Business Management Services	Management of Processes	Governance / Policy Management			No Reuse	3

Program / Project Management	Manage and control a particular effort of an organization	Business Management Services	Management of Processes	Program / Project Management			No Reuse	3
Quality Management	Help determine the level that a product or service satisfies certain requirements	Business Management Services	Management of Processes	Quality Management			No Reuse	2
Requirements Management	Gather, analyze and fulfill the needs and prerequisites of an organization's efforts	Business Management Services	Management of Processes	Requirements Management			No Reuse	3
Network Management	Monitor and maintain a communications network in order to diagnose problems, gather statistics and provide general usage	Business Management Services	Organizational Management	Network Management			No Reuse	5
Alerts and Notifications	Allow a customer to be contacted in relation to a subscription or service of interest	Customer Services	Customer Preferences	Alerts and Notifications			No Reuse	4
Content Publishing and Delivery	Allow for the propagation of interactive programs	Digital Asset Services	Content Management	Content Publishing and Delivery			No Reuse	3
Knowledge Distribution and Delivery	Support the transfer of knowledge to the end customer.	Digital Asset Services	Knowledge Management	Knowledge Distribution and Delivery			No Reuse	3
Knowledge Engineering	Allow access to data and information for use by an organization and its stakeholders	Digital Asset Services	Knowledge Management	Knowledge Engineering			No Reuse	3
Computer / Telephony Integration	Support the connectivity between server hardware, software and telecommunications equipment into a single logical system	Support Services	Communication	Computer / Telephony Integration			No Reuse	3
Access Control	Support the management of permissions for logging onto a computer, application, service, or network; includes user management and role/privilege management	Support Services	Security Management	Access Control			No Reuse	4
Remote Systems Control	Support the monitoring, administration and usage of applications and enterprise systems from locations outside of the immediate system environment	Support Services	Systems Management	Remote Systems Control			No Reuse	3
System Resource Monitoring	Support the balance and allocation of memory, usage, disk	Support Services	Systems Management	System Resource Monitoring			No Reuse	2

	space and performance on computers and their applications							

4. Technical Reference Model (TRM) Table:
To demonstrate how this major IT investment aligns with the FEA Technical Reference Model (TRM), please list the Service Areas, Categories, Standards, and Service Specifications supporting this IT investment.

FEA SRM Component	FEA TRM Service Area	FEA TRM Service Category	FEA TRM Service Standard	Service Specification (i.e. vendor or product name)
Knowledge Engineering	Component Framework	Business Logic	Platform Independent	C, C++
Knowledge Engineering	Component Framework	Business Logic	Platform Independent	Java/J2SE
Knowledge Engineering	Component Framework	Business Logic	Platform Independent	JavaScript
Knowledge Engineering	Component Framework	Business Logic	Platform Independent	JSR 53 (Java Servlet)
Data Integration	Component Framework	Data Interchange	Data Exchange	DOD CCR warehousing
Data Cleansing	Component Framework	Data Management	Reporting and Analysis	
Property / Asset Management	Component Framework	Data Management	Reporting and Analysis	FAST asset management system
Asset Transfer, Allocation, and Maintenance	Component Framework	Data Management	Reporting and Analysis	FAST asset management system
Property / Asset Management	Component Framework	Data Management	Reporting and Analysis	FAST asset management system
Meta Data Management	Component Framework	Data Management	Reporting and Analysis	IRWIN Meta Data Management
Extraction and Transformation	Component Framework	Data Management	Reporting and Analysis	OLAP
Access Control	Component Framework	Presentation / Interface	Static Display	HTML
Access Control	Component Framework	Security	Certificates / Digital Signatures	SSL

Access Control	Component Framework	Security	Supporting Security Services	SSH
Alerts and Notifications	Service Access and Delivery	Access Channels	Collaboration / Communications	Electronic Mail
Alerts and Notifications	Service Access and Delivery	Access Channels	Other Electronic Channels	System to System
Network Management	Service Access and Delivery	Access Channels	Web Browser	Internet Explorer
Network Management	Service Access and Delivery	Access Channels	Web Browser	Netscape
Computer / Telephony Integration	Service Access and Delivery	Access Channels	Wireless / PDA	Palm Operating System
Network Management	Service Access and Delivery	Delivery Channels	Internet	
Network Management	Service Access and Delivery	Delivery Channels	Intranet	
Remote Systems Control	Service Access and Delivery	Delivery Channels	Virtual Private Network (VPN)	Sprint
Access Control	Service Access and Delivery	Service Requirements	Legislative / Compliance	Privacy
Content Publishing and Delivery	Service Access and Delivery	Service Requirements	Legislative / Compliance	Section 508
Access Control	Service Access and Delivery	Service Requirements	Legislative / Compliance	Security
Access Control	Service Access and Delivery	Service Requirements	Legislative / Compliance	Web Content Accessibility
Network Management	Service Access and Delivery	Service Transport	Supporting Network Services	HTTP
Network Management	Service Access and Delivery	Service Transport	Supporting Network Services	HTTPS
Data Exchange	Service Platform and Infrastructure	Database / Storage	Database	Oracle Relational DB
Data Exchange	Service Platform and Infrastructure	Database / Storage	Database	SQL Server
Data Exchange	Service Platform and Infrastructure	Database / Storage	Database	Sybase
Computers / Automation Management	Service Platform and Infrastructure	Delivery Servers	Application Servers	
Knowledge Distribution and Delivery	Service Platform and Infrastructure	Delivery Servers	Portal Servers	
Computers / Automation Management	Service Platform and Infrastructure	Hardware / Infrastructure	Embedded Technology Devices	Hard Disk Drive

Computers / Automation Management	Service Platform and Infrastructure	Hardware / Infrastructure	Embedded Technology Devices	Microprocessor
Computers / Automation Management	Service Platform and Infrastructure	Hardware / Infrastructure	Embedded Technology Devices	RAID
Computers / Automation Management	Service Platform and Infrastructure	Hardware / Infrastructure	Embedded Technology Devices	RAM
Network Management	Service Platform and Infrastructure	Hardware / Infrastructure	Local Area Network (LAN)	Ethernet
Computers / Automation Management	Service Platform and Infrastructure	Hardware / Infrastructure	Network Devices / Standards	Digital Subscriber Line (DSL)
Computers / Automation Management	Service Platform and Infrastructure	Hardware / Infrastructure	Network Devices / Standards	Firewall
Computers / Automation Management	Service Platform and Infrastructure	Hardware / Infrastructure	Network Devices / Standards	HBU
Computers / Automation Management	Service Platform and Infrastructure	Hardware / Infrastructure	Network Devices / Standards	ISDN (Integrated Services Digital Network)
Computers / Automation Management	Service Platform and Infrastructure	Hardware / Infrastructure	Network Devices / Standards	T1/T3
Legacy Integration	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Client/Server, and Web based applications
Computers / Automation Management	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Enterprise Server
Legacy Integration	Service Platform and Infrastructure	Software Engineering	Integrated Development Environment	Unisys Mainframe
Configuration Management	Service Platform and Infrastructure	Software Engineering	Software Configuration Management	Change Management
Quality Management	Service Platform and Infrastructure	Software Engineering	Software Configuration Management	Defect Tracking
Software Development	Service Platform and Infrastructure	Software Engineering	Software Configuration Management	Development Management
Program / Project Management	Service Platform and Infrastructure	Software Engineering	Software Configuration Management	Issue Management
Requirements Management	Service Platform and Infrastructure	Software Engineering	Software Configuration Management	Requirements Management and traceability
Program / Project Management	Service Platform and Infrastructure	Software Engineering	Software Configuration Management	Task Management
Configuration Management	Service Platform and Infrastructure	Software Engineering	Software Configuration Management	Version Management
Instrumentation and Testing	Service Platform and Infrastructure	Software Engineering	Test Management	Functional Testing
Configuration Management	Service Platform and	Software Engineering	Test Management	Performance Profiling

	Infrastructure			
Configuration Management	Service Platform and Infrastructure	Software Engineering	Test Management	Security and Access Control Testing
Computers / Automation Management	Service Platform and Infrastructure	Support Platforms	Platform Independent	J2EE 9Java 2 Platform Enterprise Edition)
Computers / Automation Management	Service Platform and Infrastructure	Support Platforms	Wireless / Mobile	J2ME (Java 2 Platform, Micro Edition)

Service Components identified in the previous question should be entered in this column. Please enter multiple rows for FEA SRM Components supported by multiple TRM Service Specifications

In the Service Specification field, Agencies should provide information on the specified technical standard or vendor product mapped to the FEA TRM Service Standard, including model or version numbers, as appropriate.

5. Will the application leverage existing components and/or applications across the Government (i.e., FirstGov, Pay.Gov, etc)?

  a. If "yes," please describe.

6. Does this investment provide the public with access to a government automated information system? Yes

  a. If "yes," does customer access require specific software (e.g., a specific web browser version)? No

    1. If "yes," provide the specific product name(s) and version number(s) of the required software and the date when the public will be able to access this investment by any software (i.e. to ensure equitable and timely access of government information and services).

Exhibit 300: Part II: Planning, Acquisition and Performance Information

II.A. Alternatives Analysis

Part II should be completed only for investments identified as "Planning" or "Full Acquisition," or "Mixed Life-Cycle" investments in response to Question 6 in Part I, Section A above.

In selecting the best capital asset, you should identify and consider at least three viable alternatives, in addition to the current baseline, i.e., the status quo. Use OMB Circular A- 94 for all investments, and the Clinger Cohen Act of 1996 for IT investments, to determine the criteria you should use in your Benefit/Cost Analysis.

1. Did you conduct an alternatives analysis for this project?	No

a. If "yes," provide the date the analysis was completed?

b. If "no," what is the anticipated date this analysis will be completed?

c. If no analysis is planned, please briefly explain why:

This is a mixed-lifecycle consolidated business case. As such this is not a "project" and there is not, nor can there be a single specific Alternative Analysis (with an associated date) that addresses each individual investment/project. Additionally, the majority of these individual investments/projects, that comprise this business case, are Steady State investments not requiring a current Alternative Analysis. However, each specific investment/project, with a related D/M/E effort, is expected to develop an Alternatives Analysis for that effort. But IPV-6 and HSPD-12 have conducted an initial Alternatives Analysis for their individual investment and will complete the analysis Q1 FY07.

2. Alternative Analysis Results: **Use the results of your alternatives analysis to complete the following table:**				
Send to OMB	**Alternative Analyzed**	**Description of Alternative**	**Risk Adjusted Lifecycle Costs estimate**	**Risk Adjusted Lifecycle Benefits estimate**
True	Status Quo	Maintain current legacy systems -- As new DME efforts emerge have the specific function develop and maintain the project specific Alternatives Analysis	0	0
False	TBD	TBD	0	0
False	TBD	TBD	0	0
False	TBD	TBD	0	0

3. Which alternative was selected by the Agency's Executive/Investment Committee and why was it chosen?

Decision has not been made regarding IPV-6 or HSPD-12 solution

4. What specific qualitative benefits will be realized?

Comply with OMB guidance Support Small businesses

II.B. Risk Management

You should have performed a risk assessment during the early planning and initial concept phase of this investment's life-cycle, developed a risk-adjusted life-cycle cost estimate and a plan to eliminate, mitigate or manage risk, and be actively

managing risk throughout the investment's life-cycle.

1. Does the investment have a Risk Management Plan?	No
a. If "yes," what is the date of the plan?	9/30/2004
b. Has the Risk Management Plan been significantly changed since last year's submission to OMB?	

c. If "yes," describe any significant changes:

2. If there currently is no plan, will a plan be developed?	No
a. If "yes," what is the planned completion date?	
b. If "no," what is the strategy for managing the risks?	

Although this is a consolidated business case; this "business case investment" is not managed as a single project. As such, SBA does develop or consolidate each individual investment under a single "consolidated" Risk Management Plan. However, each specific investment/project is expected to develop a Risk Management Plan and activity to manage the risks identified under their individual plan. Additionally, in FY05 SBA conducted and documented an overall high level assessment of Risks associated with SBA infrastructure projects; as well as incorporates Risk issues into its recurring IT management discussions and meetings.

3. Briefly describe how investment risks are reflected in the life cycle cost estimate and investment schedule:

II.C. Cost and Schedule Performance

1. Does the earned value management system meet the criteria in ANSI/EIA Standard-748?	No

2. Answer the following questions about current cumulative cost and schedule performance. The numbers reported below should reflect current actual information. (Per OMB requirements Cost/Schedule Performance information should include both Government and Contractor Costs):

a. What is the Planned Value (PV)?	0
b. What is the Earned Value (EV)?	0
c. What is the actual cost of work performed (AC)?	0
d. What costs are included in the reported Cost/Schedule Performance information (Government Only/Contractor Only/Both)?	Contractor and Government
e. "As of" date:	9/8/2006

3. What is the calculated Schedule Performance Index (SPI= EV/PV)?	0
4. What is the schedule variance (SV = EV-PV)?	0
5. What is the calculated Cost Performance Index (CPI = EV/AC)?	0
6. What is the cost variance (CV=EV-AC)?	0
7. Is the CV% or SV% greater than +/- 10%? (CV%= CV/EV x 100; SV%= SV/PV x 100)	No
a. If "yes," was it the?	
b. If "yes," explain the variance:	
c. If "yes," what corrective actions are being taken?	
d. What is most current "Estimate at Completion"?	0
8. Have any significant changes been made to the baseline during the past fiscal year?	No
8. If "yes," when was it approved by OMB?	No

Comparison of Initial Baseline and Current Approved Baseline

Milestone Number	Description of Milestone	Initial Baseline		Current Baseline				Current Baseline Variance		Percent Complete
		Planned Completion Date	Total Cost (Estimated)	Completion Date		Total Cost		Schedule (# days)	Cost	
				Planned	Actual	Planned	Actual			
05-1	FY 05 OATI w-Telecomm	09/30/2005	$29,880.192	09/30/2005	09/30/2005	$29,880.192	$29,880.192	0	$0.000	100.00%
06-1	FY 2006 OATI O&M	09/30/2006	$40,242.786	09/30/2006	09/30/2006	$40,242.786	$40,242.786	0	$0.000	92.00%
07-1	FY 07 OATI O&M w-Telecomm	09/30/2007	$38,121.752	09/30/2007		$38,121.752				0%
08-1	FY 08 OATI O&M w-Telecomm	09/30/2008	$40,242.786	09/30/2008		$40,242.786				0%
Project Totals		09/30/2008	$148,487.516	09/30/2008	09/30/2006	$148,487.516	$70,122.978	731	$78,364.538	45.06